

SECURITY PLAN FOR NON-POSSESSING FACILITIES
(FACILITIES APPROVED FOR ACCESS AUTHORIZATIONS ONLY)

COGNIZANT SECURITY AGENCY (CSA) – DEPARTMENT OF ENERGY (DOE)
COGNIZANT SECURITY OFFICE (CSO) – OFFICE OF HEADQUARTERS SECURITY
OPERATIONS (HS-1.312)

The following certification provides verification that this security plan has been implemented for:

Name of Company: _____

Address: _____

(Insert Facility Code)

Typed/Signature of the Corporate Facility Security Officer

Date

Telephone Number of the Facility Security Officer

E-mail Address of Facility
Security Officer

Facsimile Number of the Facility Security Officer

Typed/Signature of the HQ Facility Clearance and
Approval Manager, HS-1.312

Date

PURPOSE OF THE NON-POSSESSING SECURITY PLAN

The purpose of this document is to prescribe requirements, restrictions, and other procedures necessary to perform on contracts to provide support services on U.S. government contracts requiring employees to obtain access authorizations (“Q” or “L” clearances). Under the terms of the contract (s), employees will work at other government facilities and require access authorizations (security clearances) to perform their assigned duties. The company will not be required to possess, store, discuss or computer process classified materials within its corporate office areas.

FACILITY SECURITY OFFICER (FSO)

The FSO, as identified on the previous page, is the point of contact for all security-related matters. When the company designates a new FSO, notification must be made to the HQ Facility Clearance and Approval (FC&A) Manager. Notification of phone number changes should be made immediately to the FC&A Manager.

Designation of Facility Security Officer:

1. Attachment 1 is a letter of designation of the Facility Security Officer that needs to be executed by one of the Key managers or another officer of the company. The original of this designation letter must be kept on file by the FSO and a copy returned with the Security Plan to the HQ FC&A Manager.
2. The FSO will also serve as the agent of the United States on behalf of this company. This designation is for the purpose of witnessing the signing of official Government forms such as the SF 312, Classified Information Nondisclosure Agreement. Approval of this Security Plan by the HQ FC&A Manager serves as authorization of the FSO to witness these documents on behalf of the U.S. Government.

Facility Security Officer Training:

1. The FSO must have completed or be registered for a formal training class. This training class can either be the DOE National Training Center’s (NTC) self-study course, “Facility Security Officer Orientation,” or the Department of Defense formal Facility Security Officer training course. To register for the NTC training, you must contact the HQ FC&A Manager and provide the following information:

Your full name
Your telephone number
The title and mailstop of your organization
2. Verification of the completion of one of these courses or a similar security officer training course or verification of registration for training must accompany the letter of designation.

REQUIREMENTS: This company agrees to comply with the following security requirements established by the National Industrial Security Program Operating Manual, DOD Manual 5220.22M and implementing DOE directives:

Foreign Ownership, Control or Influence (FOCI)

(Insert Company Name)_____ has a contractual obligation to keep current the information required by the Department of Energy Acquisition Regulation (DEAR) contract clause(s) entitled “Foreign Ownership, Control or Influence over Contractor.”

DOE Headquarters is the CSO for FOCI concerns associated with our firm/organization. As such, that office is the only DOE office to which this organization is to provide a new Certificate Pertaining to Foreign Interests (SF 328) through the electronic FOCI (e-FOCI) website <https://foci.td.anl.gov>. Significant changes to the previous provided FOCI information must also be submitted through e-FOCI. Annual Certification of the FOCI status of your organization must be made through e-FOCI. Any notification of FOCI changes will be forwarded to the aforementioned DOE office, to the attention of the HQ FOCI Manager by choosing Germantown as the office you are submitting information to in e-FOCI.

Changes in FOCI status include:

1. Changes in ownership, including stock transfers that affect control of the company.
2. Changes in the operating name or the address of the company or any of its cleared branch locations.
3. Changes in key management personnel by submission of a revised Key Managers List.
4. Actions to terminate business or operations for any reason, including involvement in the adjudication or reorganization in bankruptcy.
5. Written notification of any changes in the extent and nature of FOCI affect our organization which would affect the answers to the questions presented in the latest Certificate Pertaining to Foreign Interests. Further notices of changes in ownership or control which are required to be reported to the Securities and Exchange Commission, the Federal Trade Commission, or the Department of Justice shall also be furnished to DOE.

Subcontracting:

If any of the work required to be performed under this contract is further subcontracted to a commercial entity, the subcontract and any lower-tier subcontracts must incorporate the provisions of the DEAR security clauses 952.204-2, titled “Security Requirements,” 952.204-70, titled “Classification/Declassification,” 952.204.73, titled “Facility Clearance,” and 970.5204.1, “Counterintelligence.”

Personnel Security Program – General Requirements:

1. (Insert Name of Company)_____ will advise DOE of changes which impact the status of the cleared employees. These include: termination of employment, employee no longer needs access to classified information, changes in employee's name, marital status, and citizenship, or death of the employee.
2. Ensure notification 45 days in advance to DOE of any planned foreign travel by DOE-cleared individuals to sensitive or communist-controlled countries (see attachment 2).
3. Ensure that signed termination agreements are sent through the client to the cognizant DOE security representative.
4. Ensure that your company and its cleared personnel comply with personnel clearance reporting requirements.
5. Ensure that the provisions of The Privacy Act are met when handling and mailing/delivering completed personnel security clearance request documents.

Security Education:

(Insert Company Name)_____ will establish an internal security education program. DOE may be requested to assist in the implementation of the program by furnishing briefing materials, providing security posters, reminders, and video tapes; and suggesting timely topics to be covered. The security education program will include:

1. Ensure that each employee receiving a DOE access authorization has received their Initial and Comprehensive Security Briefings. These briefings are conducted by the HQ badging offices and will cover general threat awareness, defensive security measures, an overview of security classification system, employee reporting obligations, and security procedures applicable to the employee's job.
2. A Security Refresher Briefing will be given annually to each cleared employee. This annual refresher must be documented and reported to the HQ Office of Security Operations.
3. Conduct and document a foreign travel briefing for employees traveling to foreign countries. This briefing can be incorporated into the Annual Security Refresher Briefing. Ensure that debriefings are conducted upon return from foreign travel.
4. Ensure that each cleared employee receives a Termination Briefing and signs a Security Termination Statement when terminating employment, losing their clearance, or no longer requiring a clearance.

DOE Badges:

1. Ensure return of DOE badges for all employees, including Building Access Only badges.

DOE Headquarters Security Points of Contact

Attachment 3 to this plan reflects the addresses and phone numbers for contacting DOE Headquarters staff responsible for FOCI, Facility Clearance and Approval, Personnel Security, and Security Awareness.

ATTACHMENT 1

LETTER OF DESIGNATION OF FACILITY SECURITY OFFICER

(Insert FSO Name, Title)
Company Name
Address

Dear

In accordance with the requirements of the National Industrial Security Program Operating Manual (NISPOM), you have been appointed the Facility Security Officer (FSO) for (Insert Company Name). As FSO you will supervise and direct security measures necessary for implementing the NISPOM and related Department of Energy requirements set forth in their safeguards and security related orders and manuals and the Security Plan for Non-Possessing Facilities.

This designation as FSO also appoints you to be the company representative designated to act as an agent of the United States to perform the function of witnessing the signature of (Insert Company Name) employees on official Government forms such as the SF-312, Classified Information Nondisclosure Agreement.

You have (completed or been registered for) the Facility Security Officer Orientation Correspondence Course (PHY-210DB). A copy of the certificate of completion accompanies the courtesy copy of this letter to the Cognizant Security Office.

cc:
James Isoda, FOCI/FC&A Manager, HQ

ATTACHMENT 2

Sensitive Countries List

Countries appear on this list for reasons of national security, nonproliferation, anti-terrorism, or economic security. Due to the dynamic nature of world events, other countries may, at any time, become sensitive. Therefore, caution should be exercised in dealing with citizens of all countries, including countries not listed to assure that sensitive information, although unclassified in nature, is not inadvertently disclosed. This would include information related to weapons of mass destruction and other proprietary information that could cause economic harm to the U.S. should it be improperly disclosed.

Algeria
Armenia
Azerbaijan
Belarus
China, People's Republic of (includes Hong Kong)
Cuba
Georgia
India
Iran
Iraq
Israel
Kazakhstan
Kyrgyzstan
Korea, Democratic People's Republic of (North Korea)
Libya
Moldova
Pakistan
Russia
Sudan
Syria
Taiwan
Tajikistan
Turkmenistan
Ukraine
Uzbekistan

ATTACHMENT 3

DOE Headquarters Security Points of Contact

Foreign Ownership, Control or Influence & Facility Clearance and Approval Programs:

FOCI/FC&A Manager
U.S. Department of Energy
HS-1.312, Germantown Bldg.
1000 Independence Avenue, SW
Washington, DC 20585-1290
Telephone: (301) 903-8068
Facsimile: (301) 903-4601
E-mail: James.Isoda@hq.doe.gov

Personnel Security Program:

Office of Personnel Security Operations
U.S. Department of Energy
HS-1.32, Germantown Bldg.
1000 Independence Avenue, SW
Washington, DC 20585-1290
Telephone: (301) 903-5485
Facsimile: (301) 903-3086

Security Awareness:

Headquarters Security Awareness Manager
U.S. Department of Energy
HS-1.312, Germantown Bldg.
1000 Independence Avenue, SW
Washington, DC 20585-1290
Telephone: (301) 903-4440
Facsimile: (301) 903-4601
E-mail: Brenda.Swiger@hq.doe.gov